



Division Guideline #58

Date: May 27, 2016

Title: Individual Support Plan Review

Application: Targeted Case Management (TCM) entities responsible for facilitating and/or writing individual support plans for individuals eligible for Division of DD services.

Purpose:

- To describe the review of individual support plans for individuals served by the Division.
- To describe the processes used to ensure compliance with Individual Service Plan Medicaid Waiver requirements and the Division of DD Individual Service Plan Guidelines.

Individual Support Plan Reviews (applies to TCM entities)

- A. Monitoring of a selected sample, meeting 95% confidence level, of individual support plans: Technical Assistance Coordinators, or their designee, who have received training in and have knowledge of the individual support plan required components shall monitor selected individual support plans, including subsequent amendments, and ALL documentation of monthly progress for the past 12 months.
 1. Quarterly, the Division of DD Quality Enhancement Unit will provide a list of randomly selected consumers from each of the waivers. Replacement names are provided in the following instances:
 - a. Waiver slot becomes inactive;
 - b. Individual has been discharged; or
 - c. Individual was transferred to another region.
 2. The review is designed to be conducted on a sample of waiver participants and to ensure adherence to CMS waiver and Division of DD requirements.
 3. The review will include a statistically valid random sample of Lopez/MOCDD, Autism, Comprehensive, Community Support and Partnership for Hope waiver individual support plans.
 4. The ISP Reviews must be entered into APTS the DMH DDD Centralized database, under the Quality Management Source - ISP Review, by the 15th of the last month of each FY quarter (1st quarter – September 15, 2nd quarter – December 15, 3rd quarter – March 15, 4th quarter – June 15).
- B. If an individual support plan does not meet criteria set forth in the required components, the reviewer shall share the appropriate information with the TCM entity representative as well as document the follow up. The ISP shall be revised to include component(s) that were found to be absent.
- C. If the ISP Review process reveals a lack of meaningful progress (e.g., no progress, progress not related to the outcome, extreme length of time to complete strategies, same individual support plan year after year) or maintenance of the current functioning level, this information shall be shared with the TCM entity representative for revision of the individual support plan.

D. Implementation Review

1. Support Monitoring is completed to ensure the individual support plan is being implemented as written
 - a. Quarterly review of progress: ALL individual support plans for consumers receiving purchased services will be reviewed at least quarterly by the assigned Support Coordinator.
 - b. Findings are entered into the DMH DDD Centralized database.
 - c. Trends will be reviewed in each region and follow up with the TCM entity will be completed.

Process for Identification, Communication, and Resolution of Issues

a)

- A. Individual Support Plan (ISP) Reviews
 1. Issues from the ISP Reviews are documented in the DMH DDD Centralized database and communicated to the TCM entity within 10 working days of the review date.
 2. Remediation by the support coordinator is to be completed within 90 days of being notified about issues.
 3. The TCM entity will notify the Regional Office of the date the issues have been resolved and provide verification.
 4. The reviewer verifies resolution of identified issues and ensures resolution date is entered into the DMH DDD Centralized database.
 5. Findings and remediation are located in DMH DDD Centralized database for tracking and trending.

Data Analysis

- A. At least quarterly, the Division of DD State Quality Enhancement Unit or designee will analyze the data and review statewide trends.
 1. If significant trends are identified, they will be reviewed with the QE Director.
 2. The TCM TAC Statewide Coordinator will be provided an analysis of trends.
- B. Guidelines, as well as processes, will be evaluated and revisions may be recommended.
- C. Training, technical assistance, and/or policy changes will be implemented to address issues and trends.
- D. As required in the waiver applications, quarterly reports are provided to Mo HealthNet on the compliance level of each CMS assurance.

Authority:

9 CSR 45-3.010: Individualized Habilitation Plan Procedures

[Home and Community Based Waiver](#)

RSMO 633.110 <http://www.moga.mo.gov/statutes/c600-699/6330000110.htm>

[Technical Assistance Manual for Regional Offices, County Senate Bill 40 Boards, and Other Not-for-Profit Agencies](#)

This guideline will be reviewed and updated annually, if needed.